



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial No.: 10/785,172  
Filed: February 24, 2004  
Inventor: Ingo Smaglinski  
Title: **Optical Modifier and Method  
for the Manufacture Thereof**  
Attny Doc. No.: 059-04  
Art Unit: n/a  
Examiner: n/a

**Certificate of Class Mailing**

I hereby certify that this correspondence is being deposited with the United States Post Office as "First Class Mail" under 37 C.F.R. §1.8 on the date indicated below and is prepaid in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: March 25, 2004

  
Dara Salgado

**COVER LETTER WITH CERTIFICATE OF FIRST CLASS MAIL**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

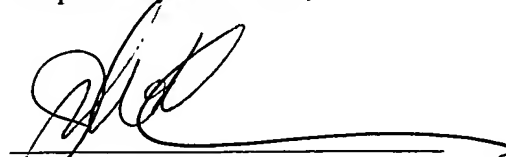
Sir:

Enclosed and attached hereto are the following:

- 1) Cover Letter with Certificate of Mailing;
- 2) Information Disclosure Statement w/Form 1449 (6 pages);
- 3) Postcard to be date-stamped and returned.

No fees are believed to be required. In the event that an additional fee is required with respect to this communication, the Commissioner is hereby authorized to charge any additional fees, or credit any overpayment, to Paul & Paul Deposit Account No.16-0750.

Respectfully submitted,

  
John J. Simkanich

Reg. No. 26,036  
Paul & Paul  
2900 Two Thousand Market Street  
Philadelphia, PA 19103  
(215) 568-4900

Date: March 25, 2004

Order No.: 2172

PATENT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventors: Ingo Smaglinski  
Serial No.: 10/785,172  
Filed: February 24, 2004  
Title: **Optical Modifier and Method  
for the Manufacture Thereof**  
Attny Doc. No.: 059-04  
Examiner: n/a  
Art Unit: n/a

**Certificate of Class Mailing**

I hereby certify that this correspondence is being deposited with the United States Post Office as "First Class Mail" under 37 C.F.R. §1.8 on the date indicated below and is prepaid in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: March 25, 2004

  
Dara Salgado

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT WITH FORM 1449**

Dear Sir:

In compliance with 37 CFR 1.98 and 37 CFR 1.97 applicant offers the below-listed references for consideration. Pursuant to 37 CFR 1.97(b)(1), this IDS is offered within three months of the filing date of the application. No fee is due.

Submitted herewith is a PTO Form 1449. Also submitted are copies of:

1. Search report issued by the German Patent Office on application number 100 43 985.3;
2. DE-4-221-918-C2, Relevance "Y" cited in the German Search Report;
3. DE-196-06-028-A1, Relevance "Y" cited in the German Search Report;
4. DE-3-345-038-A1, Relevance "Y" cited in the German Search Report;
5. DE-3-019-955-A1, Relevance "X" cited in the German Search Report;
6. US-5,687,262, Michael P. Buchin, for HIGH-SPEED ELECTRO-OPTICAL MULTIPLEXER/DEMULTIPLEXER;
7. US-4,583,820, Flamand, et al., for WAVELENGTH MULTIPLEXER/DEMULTIPLEXER USING OPTICAL FIBERS;

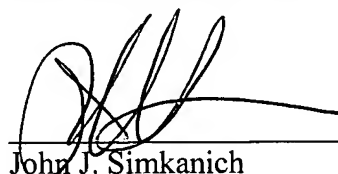
8. DE-1-974-5323-A1, Relevance "X" cited in the German Search Report;
9. DE-4-008-483, Relevance "Y" cited in the German Search Report;
10. DE-3-216-516-A1, Relevance "X" cited in the German Search Report;
11. DE-25-09-112-A1, Relevance "Y" cited in the German Search Report;
12. US-4,740,951, Lizet, et al., for REVERSIBLE DEVICE FOR THE MULTIPLEXING OF SEVERAL LIGHT SIGNALS IN INTERGRATED OPTICS.
13. EP-1-004-907, European Patent Application, Brian E. Lemoff, for OPTICAL WAVELENGTH DEMULIPLEXER;
14. 09033749-A, Japanese Patent Abstract, Ogoshi Sellchi, for OPTICAL MULTIPLEXER;
15. 10260334-A, Japanese Patent Abstract, Kimura Hiroshi, et al., for OPTICAL WAVELENGTH FILTER WITH OPTICAL SWITCH FOR WAVELENGTH MULIPLEX TRANSMISSION;
16. International Search Report on PCT application PCT/DE01/03393;
17. US-4,699,453, Harold Roberts, for MONOLITHIC FIBER OPTIC COUPLER HAVING TOTAL INTERNAL REFLECTING SURFACE;
18. US-4,441,784, Hans-Erdmann Korth, for PARABOLOIDAL COUPLER FOR LIGHT WAVE GUIDES;
19. US-4,422,714, Benoit, et al., for ELLIPSOIDAL OPTICAL COUPLING DEVICE;
20. US-4,701,010, Harold Roberts, for UNITARY BODY OPTICAL COUPLER;
21. US-4,693,544, Yamasaki, et al., for OPTICAL BRANCHING DEVICE WITH INTERNAL WAVE GUIDE;
22. US-4,744,618, Hans F. Mahlein, for OPTICAL DEVICE FOR USE AS A MULTIPLEXER OR DEMULTIPLEXER IN ACCORDANCE WITH THE DIFFRACTION GRATING PRINCIPLE;
23. US-3,883,223, Marshall C. Hudson, for COUPLER FOR OPTICAL COMMUNICATION SYSTEM;
24. US-6,563,980, Dultz, et al., for METHOD AND DEVICE FOR SPECTRAL LEVEL BALANCING IN WAVELENGTH DIVISION MULTIPLEX MULT-CHANNEL SYSTEMS;
25. English translation of abstracts for DE 19606028, DE 4221918, and DE 4008483;
26. US-5,420,946, Tsai, for MULTIPLE CHANNEL OPTICAL COUPLING SWITCH;
27. US-6,213,650, Moriyama, et al., for METHOD OF MAKING OPTICAL MODULE;

28. US-6,456,756, Mead, et al., for FIBER RAMAN AMPLIFIER PUMPED BY AN INCOHERENTLY BEAM COMBINED DIODE LASER;
29. US-6,516,115, Fujita, et al., for TWO-WAY OPTICAL COMMUNICATION DEVICE AND TWO-WAY OPTICAL COMMUNICATION APPARATUS;
30. US-6,584,102, Lu, for COMMUNICATION NETWORK APPARATUS AND METHOD;
31. US-6,198,864, Lemoff, et al., for OPTICAL WAVELENGTH DEMULTIPLEXER; and
32. US-6,493,124, Haberkorn, for LOOPING BACK SIGNALS IN OPTICAL SWITCHES.

### REMARKS ON RELEVANCY

Documents in English are provided. Foreign documents have an English translation of the abstract. Foreign language documents include international relevancy designations. The requirements specified by MPEP 609A(3) and 37 CFR 1.98 are considered to have been satisfied.

Respectfully Submitted,



John J. Simkanich  
Reg. No. 26,036  
Paul & Paul  
2900 Two Thousand Market Street  
Philadelphia, PA 19103  
(215) 568-4900

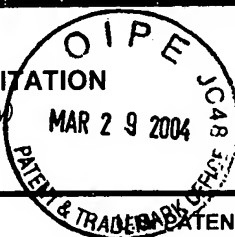
Date: March 25, 2004

Order No.: 2172

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>059-04</b>		Application Number <b>10/785,172</b>		
				Applicant(s) <b>Ingo Smaglinski</b>				
				Filing Date <b>February 24, 2004</b>		Group Art Unit <b>n/a</b>		
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		6,584,102	6-24-2003	Lu	370	389		
		6,563,980	5-13-2003	Dultz, et al.	385	27		
		6,516,115	2-4-2003	Fujita, et al.	385	31		
		6,493,124	12-10-2002	Haberkorn	359	174		
		6,456,756	9-24-2002	Mead, et al.	385	24		
		6,213,650	4-10-2001	Moriyama, et al.	385	88		
		6,198,864	3-6-2001	Lemoff, et al.	385	47		
		5,687,262	11-11-1997	Buchin	385	24		
		5,420,946	5-30-1995	Tsai	385	22		
		4,744,618	5-17-1988	Mahlein	350	96.19		
		4,740,951	4-26-1988	Lizet, et al.	370	3		
<b>FOREIGN PATENT DOCUMENTS</b>								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
		DE 2509112 A1	10-16-1975	Germany				✓
		DE 3019955 A1	12-3-1981	Germany				✓
		DE 3345038 A1	6-14-1984	Germany				✓
		DE 3216516 A1	5-17-1988	Germany				✓
		DE 4008483 A1	9-19-1991	Germany				✓
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
		English translation of abstract of DE 19606028, DE 4221918, and DE 4008483.						
		German Patent Office Search Report dated May 3, 2001 for application number 10043985.3.						
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>				
<b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)



ATTY DOCKET NO.  
059-04

SERIAL NO.  
10/785,172

FILING  
February 24, 2004

GROUP  
n/a

## PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,701,010	10-20-1987	Roberts	350	96.15	
	4,699,453	10-13-1987	Roberts	350	96.20	
	4,693,544	9-15-1987	Yamasaki, et al.	350	96.16	
	4,583,820	4-22-1986	Flamand, et al.	350	96.19	
	4,441,784	4-10-1984	Korth	350	96.15	
	4,422,714	12-27-1983	Benoit, et al.	350	96.15	
	3,883,223	5-13-1975	Hudson	350	96 C	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	DE 4221918 C2	7-11-1996	Germany				✓
	DE 19606028 A1	8-21-1997	Germany				✓
	DE 19745323 A1	5-6-1999	Germany				✓
	EP 1004907 A2	7-26-1999	Europe				✓

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Use several sheets if necessary)

MAR 29 2004

SERIAL NO. 10/785,172

**FILING**  
**February 24, 2004**

GROUP	n/a
-------	-----

**U.S. PATENT DOCUMENTS**

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)


**EXAMINER**

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.